

10/589814

JAP6 Rec'd PCT/PTO 17 AUG 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Masahiro TERADA et al.

: Mail Stop: PCT

Serial No. NEW

: Attorney Docket No. 2006\_1253A

Filed August 17, 2006

GUANIDINE COMPOUND AND ASYMMETRIC  
REACTION USING THE SAME

[Corresponding to PCT/JP2005/001943

Filed February 9, 2005]

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application  
PCT/\_\_\_\_\_; and/or
- ☐ each reference previously cited in prior parent application Serial No.  
\_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the  
above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

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3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Masahiro TERADA et al.

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August 17, 2006

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: August 17, 2006

ATTY DOCKET NO.  
2006\_1253ASERIAL NO.  
NEW 10/589814APPLICANT  
Masahiro TERADA et al.FILING DATE  
August 17, 2006

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,340,753	1/2002	Maruoka			Corresponds to AE
	AB	4,833,245	5/1989	Bruderer et al.			Corresponds to AF
	AC						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AD	2000-198774	7/2000	JP			Abstract
	AE	2001-048866	2/2001	JP			Abstract
	AF	61-161266	7/1986	JP			X
	AG						
	AH						

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AI	H. Y. Aboul-Enein et al., "Synthesis and Biological Activity of Dibenz[c,e]Azepines", Drug Design and Delivery, Vol. 4, No. 1, pp. 27-33, 1989.
	AJ	R. Chinchilla et al., "Enantiomerically Pure Guanidine-Catalysed Asymmetric Nitroaldol Reaction", Tetrahedron: Asymmetry, Vol. 5, No. 7, pp. 1393-1402, 1994.
	AK	M. T. Allingham et al., "Synthesis and Applications of C <sub>2</sub> -Symmetric Guanidine Bases", Tetrahedron Letters, Vol. 44, No. 48, pp. 8677-8680, 2003.
	AL	T. Ooi et al., "Design of N-Spiro C <sub>2</sub> -Symmetric Chiral Quaternary Ammonium Bromides as Novel Chiral Phase-Transfer Catalysts: Synthesis and Application to Practical Asymmetric Synthesis of $\alpha$ -Amino Acids", JACS Articles, No. 125, No. 17, pp. 5139-5151, 2003.
	AM	T. Ooi et al., "Practical Catalytic Enantioselective Synthesis of $\alpha,\alpha$ -Dialkyl- $\alpha$ -Amino Acids by Chiral Phase-Transfer Catalysis", JACS, Vol. 122, No. 21, pp. 5228-5229, 2000.
	AN	T. Ooi et al., "Molecular Design of a C <sub>2</sub> -Symmetric Chiral Phase-Transfer Catalyst for Practical Asymmetric Synthesis of $\alpha$ -Amino Acids", JACS, Vol. 121, No. 27, pp. 6519-6520, 1999.

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.